

03-06-013  
# CP 2735  
#  
3-13

Attorney Docket No. 0090-001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of :  
**Pool et. al**

Application No. : **08/999,297**

Filed : **12/29/97**



Group No. : **2735**

Examiner : **R. Frejd**

For : **Universal Shopping Center for International Operation**

**INFORMATION DISCLOSURE STATEMENT**

The Honorable Commissioner of  
Patents and Trademarks  
Washington, D.C. 20231

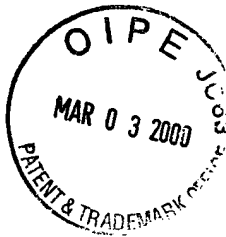
Dear Sir :

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the  
attention of the Patent and Trademark Office is hereby directed to the references  
listed on the attached form PTO-1449. It is respectfully requested that the  
references be expressly considered during the prosecution of this application, and  
that the references be made of record therein and appear among the "References  
Cited" on any patent to issue therefrom.

RECEIVED  
MAR -9 2000  
TC 2700 MAIL ROOM

This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

In accordance with 37 CFR 1.17(p), please find enclosed a check in the amount of \$240.00.



Respectfully submitted,  
Lev Intellectual Property Consulting

Robert G. Lev  
Reg. No. 30, 280

4766 Michigan Boulevard  
Youngstown, Ohio 44505  
(330) 759-1423

Date : March 3, 2000

RECEIVED  
MAR-9  
TC 2700 MA  
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS  
BEING DEPOSITED WITH THE UNITED STATES POSTAL  
SERVICE AS EXPRESS MAIL IN AN ENVELOPE ADDRESSED  
TO: COMMISSIONER OF PATENTS AND TRADEMARKS,  
WASHINGTON, D.C. 20231, ON March 3, 2000

LABEL NO. EK 197DS1425115  
NAME Robert G. Lev  
SIGNATURE

Practitioner's Docket No. 2547/101

**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Patent application

of \_\_\_\_\_

Inventor(s)

for \_\_\_\_\_

Title of invention

**OR**

In re application of: Pool et al.

Application No.: 08/999,297

Group Art Unit: 2164

Filed: December 29, 1997

Examiner: Millin, V.

For: UNIVERSAL SHOPPING CENTER FOR INTERNATIONAL OPERATION

**Commissioner for Patents****Washington, D.C. 20231****SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT****CERTIFICATE UNDER 37 C.F.R. § 1.8(a) and 1.10\****(When using Express Mail, the Express Mail label number is **mandatory**;  
Express Mail certification is optional.)*

I hereby certify that this correspondence is, on the date shown below, being:

**MAILING**☐ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231**C.F.R. § 1.8(a)****37 C.F.R. § 1.10\***☐ with sufficient postage as first class mail.☐ as "Express Mail Post Office to Addressee"Mailing Label No. \_\_\_\_\_ **(mandatory)****TRANSMISSION**☒ Hand delivery to the United States Patent and Trademark Office.☐ Transmitted by facsimile to the Patent and Trademark Office.

Date: \_\_\_\_\_

Signature \_\_\_\_\_

Wendy M. Slade

(type or print name of person certifying)

**NOTE:** "An information disclosure statement shall be considered by the Office if filed by the applicant within any one of the following time periods:

- (1) Within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
- (2) Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;
- (3) Before the mailing date of a first Office action on the merits; or
- (4) Before the mailing date of a first Office action after the filing of a request for continued examination under § 1.114."

37 C.F.R. § 1.97(b).

**NOTE:** "Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section." 37 C.F.R. § 1.56(a).

"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) each inventor named in the application;
- (2) each attorney or agent who prepares or prosecutes the application; and
- (3) every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application." 37 C.F.R. § 1.56(c).

**NOTE:** The "duty as described in § 1.56 will be met so long as the information in question was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98 before issuance of the patent." Notice of January 9, 1992, 1135 O. G. 13 -25 at 17.

**WARNING:** "No information disclosure statement maybe filed in a provisional application." 37 C.F.R. § 1.51(d).

### **List of Sections Forming Part of This Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

(check sections forming a part of this statement: discard unused sections and number pages consecutively)

1. ☒ Preliminary Statements
2. ☒ FORMS PTO/SB/08A and 08B (formerly FORM PTO-1449)
3. ☐ Statement as to Information Not Found in Patents or Publications
4. ☐ Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. ☐ Cumulative Patents or Publications
6. ☒ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items
  - 7A. ☐ EPO Search Report
  - 7B. ☐ English Language Version of EPO Search Report
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Concise Explanation of English Language Listed Information Items (Optional)
10. ☒ Identification of Person(s) Making This Information Disclosure Statement

(complete the following, if appropriate)

Sections \_\_\_\_\_, respectively, have been continued on ADDED PAGE(S).

**NOTE:** "Once the minimum requirements are met the examiner has an obligation to consider the information." Notice of April 20, 1992 (1138 O.G. 37-41, 37).

**Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

## Section 6. Copies of Listed Information Items Accompanying This Statement

*NOTE: 37 C.F.R. § 198(a)(2) requires that any information disclosure statement filed under § 1.97 shall include:*

*"A legible copy of.:*

- (i) Each U.S. patent application publication and U.S. and foreign patent;*
- (ii) Each publication or that portion which caused it to be listed,*
- (iii) For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion. . .*

Legible copies of all items listed in Forms PTO/SB/08A and 08B (formerly Form PTO-1449) accompany this information statement.

*(complete the following, if applicable)*

Exception(s) to above:

- ☐ Items in prior application, from which an earlier filing date is claimed for this application, as identified in Section 4.
- ☐ Cumulative patents or publications identified in Section 5.

**Section 10. Identification of Person(s) Making This Information Disclosure Statement**

The person making this statement is

*(check each applicable item)*

- (a) ☐ the inventor(s) who signs below

\_\_\_\_\_  
SIGNATURE OF INVENTOR

\_\_\_\_\_  
(type or print name of inventor who is signing)

- (b) ☐ an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c))

\_\_\_\_\_  
SIGNATURE OF INVENTOR

\_\_\_\_\_  
(type or print name of inventor who is signing)

- (c) ☒ the practitioner who signs below on the basis of the information:

*(check each applicable item)*

- ☒ supplied by the inventor(s).
- ☐ supplied by an individual associated with the filing and prosecution of this application. (37 C.F.R. § 1.56(c))
- ☒ in the practitioner's file.

Reg. No.: 37,790

Karen A. Buchanan  
SIGNATURE OF PRACTITIONER

Tel. No.: 617-443-9292

Karen A. Buchanan  
(type or print name of person certifying)

Customer No.: 00-2101

Bromberg & Sunstein LLP  
125 Summer Street, Boston, MA 02110

(Information Disclosure Statement-Section 10. Identification of Person(s) Making This Information Disclosure Statement [6-1]-page 6 of 6)